Project Study Report – Project Development Support (PSR-PDS) Process and Preparation Procedures – Part Six

California Department of Transportation

January 12, 2012

PSR-PDS Preparation Process

1. •Work Programs for PSR-PDS Development
2. •Pre-PID Meeting
   Develop Charter and Cooperative Agreement, Framework for Purpose and Need and Concept and Scope, Design Criteria, Identify Deficiencies and Lead Agency
3. •Authorization for PID Preparation
4. •Obtain and Review Existing Reports, Studies, Mapping or Other Information
5. •Form the Project Development Team
6. •Develop Consensus on the Project Purpose and Need
7. •Review of the Project Site in the Field
8. •Identify Additional Data Requirements for Project Scoping
9. •Perform the Initial Engineering Analysis and Develop Alternatives
10. •Develop Cost Estimates
11. •Develop Schedules
12. •Risks
13. •Quality Management Plan
14. •Complete PSR-PDS
15. •Caltrans District Review and Approval

Overview

- PSR-PDS Process and Preparation Procedures
  - Complete PSR-PDS
  - Caltrans District Review and Approval
- Outline for PSR-PDS
- PSR-PDS- Estimates
- Scoping Tools
- PSR-PDS Templates
- Independent Quality Assurance

PSR-PDS Guidance Training

Presented By:

Rebecca Mowry

Special Funded Project Manager

California Department of Transportation – District 3

Complete PSR-PDS, Review and Approval

- Complete the PSR-PDS Document according to the provided outline and templates (to be discussed later).

Complete PSR-PDS, Review and Approval

- For PIDs prepared by local agencies, statute requires Caltrans review within 60 days (for first submittal).
  - If the PID is not approvable, comments will be returned to the agency. Subsequent reviews will occur within 30 days.

Complete PSR-PDS, Review and Approval

- The Caltrans District Director or Deputy District Director (if delegated) approves the PSR-PDS.

Outline for PSR-PDS

Refer to Appendix S, Chapter 3

PSR-PDS Estimates

- Capital cost estimates for construction and right of way are “order of magnitude” estimates appropriate for long-range planning only (i.e. $5-10 million, $25-50 million, $100-200 million).
- Support costs are for Project Approval and Environmental Document (PA&ED) only.
  - Resource needs are developed utilizing current workplan development tools.
  - Greater accuracy is needed for projects utilizing State Transportation Improvement Program (STIP) or State Highway Operations and Protection Program (SHOPP) funds for PA&ED.
  - The Caltrans Project Manager will estimate resources and develop the workplan for PA&ED oversight of projects funded by others.

Scoping Tools

- Project Development Procedures Manual (PDPM) Appendix S, Chapter 5, Articles 2-11 contain the Scoping Tools available for the PSR-PDS.
- The purpose of the scoping tools is to assist the preparer with gathering existing data available to develop the PSR-PDS.
  - Not all information identified in every tool will be readily available.
  - Complete them to the best of your ability without performing new studies.

Scoping Tools

- For Caltrans-prepared PIDs, the Caltrans functional unit will complete the scoping tool.
- For local agency-prepared documents, the local agency will prepare the scoping tools with Caltrans providing review and comment.
  - Caltrans staff is reminded that the intent of these guidelines is to streamline the PID preparation process, and there may be room for flexibility in the format of the scoping tools.

PSR-PDS Templates

- Chapter 6 contains two examples of outlines for the PSR-PDS.
  - One is for STIP funded projects or projects funded by others.
  - The other template is for Long Lead SHOPP projects.
    - It is intended that these templates will be modified on a project-by-project basis to capture all of the desired information in the PSR-PDS document.
- Refer to Chapter 3, Article 1 for the various reasons for preparation of the PSR-PDS that will be captured on the title sheet.

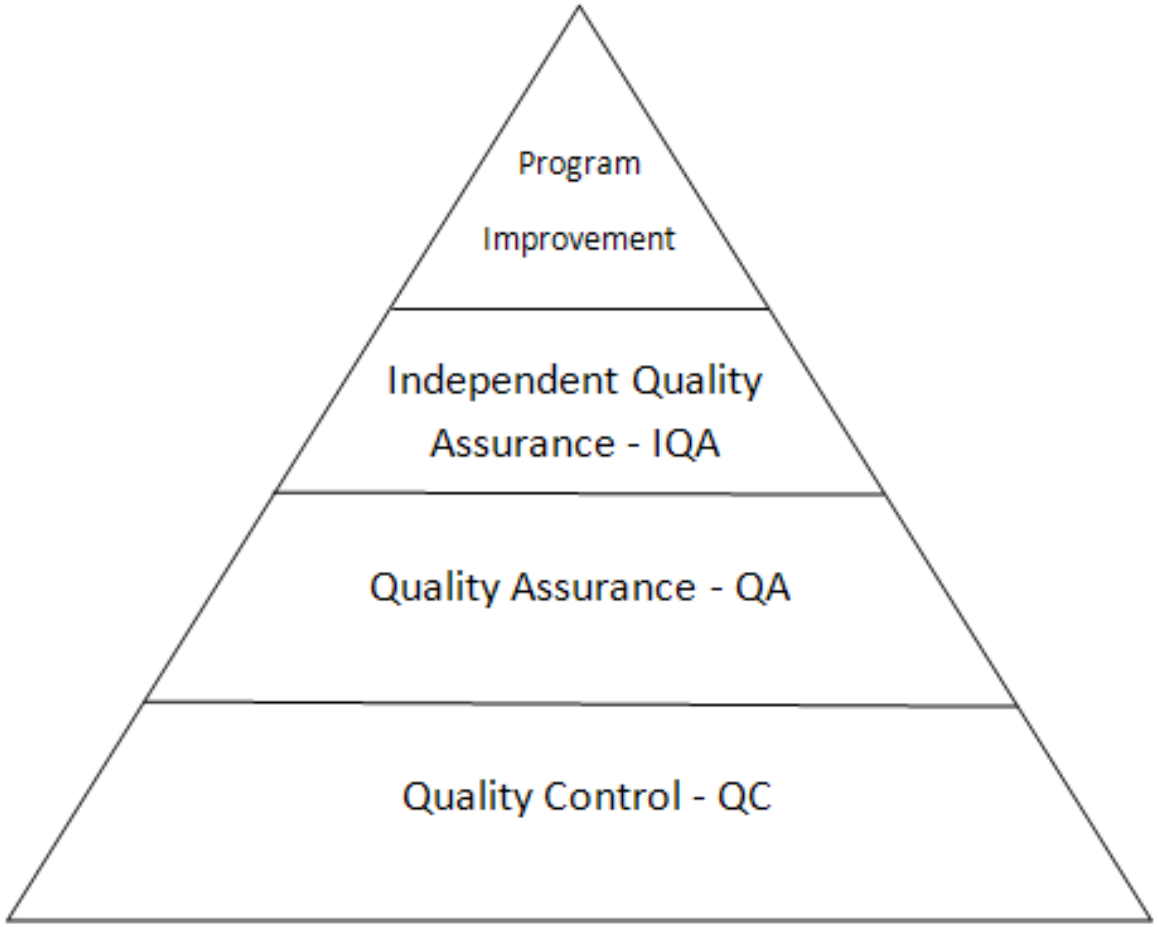
Questions

Independent Quality Assurance

PSR-PDS Guidance Training

Presented By:
Mary Beth Herritt,
Chief, Project Development Procedures &
Quality Improvements
California Department of Transportation - Division of Design

Independent Quality Assurance



Independent Quality Assurance

Performance Characteristics
Protective Features
Purpose & Need
Cost Management
Schedule Management
Design Standards Compliance
Environmental Commitment & Compliance
Right of Way Minimization & Compliance
Construction Contract
Designed to Operate as Planned
Maintainability
Constructability
Optimization

Key Function
Design
Project Management
Structure Design
Right of Way
Environmental
Office Engineer
Construction
Structure Construction
Maintenance
Traffic Operations
Planning

Performance Characteristics
Protective Features
Purpose & Need
Cost Management
Schedule Management
Design Standards Compliance
Envrnmt Commitment & Compliance
R/W Minimization & Compliance
Constr Contract Stds Compliance
Designed to Operate as Planned
Maintainability
Constructability
Optimization

Key Function	Performance Characteristics
Design	Design Stds Compl
	Meets Need and Purpose
	Optimization
Project Management	Cost Mgmt
	Schedule Mgmt
	Optimization
Structure Design	Design Stds Compl
	Optimization
Right of Way	Right of Way Minimization & Compliance
Environmental	Meets Need and Purpose
	Environmental Commitment & Compliance
Office Engineer	Construction Contract Standards Compliance
Construction	Protective Features
	Construction Contract Standards Compliance
	Constructability
Structure Construction	Constructability
Maintenance	Protective Features
	Designed to Operate as Planned
	Maintainability
Traffic Operations	Protective Features
	Designed to Operate as Planned
	Design Stds Compl
Planning	Meets Need and Purpose
	Designed To Operate as Planned

Independent Quality Assurance

Designs Standards & Guidance - Design					
Aspect	5	4	3	2	1
	State of the Art	Good	Acceptable	Marginal	Unacceptable
HDM; Geometric	Most permissive standards exceeded and No design exceptions (except to improve design). No Mandatory exceptions.	Most permissive standards met or exceeded, and few approved design exceptions.	All design standards minimums met or design exceptions approved.	Non-standard features – no approved design exceptions. Requires minor re-design to get design exception approved.	Non-standard features – no approved exception, Issues with approval. Requires major re-design to get design exception approved.
HDM;	Most permissive standards exceeded and No design exceptions (except to improve design). No Mandatory exceptions.	Most permissive standards met or exceeded, and few approved design exceptions.	All design standards minimums met or design exceptions approved.	Non-standard features – no approved design exceptions. Requires minor re-design to get design exception approved.	Non-standard features – no approved exception, Issues with approval. Requires major re-design to get design exception approved.
DIB	Most permissive standards exceeded and No design exceptions (except to improve design). No Mandatory exceptions.	Most permissive standards met or exceeded, and few approved design exceptions.	All design standards minimums met or design exceptions approved.	Non-standard features – no approved design exceptions. Requires minor re-design to get design exception approved.	Non-standard features – no approved exception, Issues with approval. Requires major re-design to get design exception approved.
DIB	Most permissive standards exceeded and No design exceptions (except to improve design). No Mandatory exceptions.	Most permissive standards met or exceeded, and few approved design exceptions.	All design standards minimums met or design exceptions approved.		Non-standard features – no approved exception, Issues with approval.
Design Memo and Guidance	All standards exceeded.	All design guidance and standards met and some exceeded.	Most design guidance and standards met or exceeded, and documented concurrence for variations.	Design guidance and standards not fully met – no documented concurrence for variations.	Non-standard features – no documented concurrence for variations, Issues with approval.
AASHTO - Local facilities	All local roads exceeded CT or AASHTO standards.	All design guidance and standards met and some exceeded.	Most design guidance and standards met or exceeded, and documented concurrence for variations.	Design guidance and standards not fully met – no documented concurrence for variations.	Non-standard features – no documented concurrence for variations, Issues with approval.

Questions

Resources

- Project Development Procedures Manual
  - http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm
- Office of Projects Plan Coordination (OPPC)
  - http://www.dot.ca.gov/hq/tpp/offices/oppc/index.html

PSR-PDS Training Sessions One through Seven

- http://www.dot.ca.gov/hq/tpp/offices/oppc/psr-pds_training.html

Resources

http://onramp.dot.ca.gov/hq/design/projdev/quality.php